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PTO/SB/21 (02-04)  
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

1635  
\$  
Box 162

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

|  |                      |                         |
|--|----------------------|-------------------------|
| Application Number                       | 09/436,060           |                         |
|  | Filing Date          | November 8, 1999        |
|  | First Named Inventor | James T. Kealey, et al. |
|  | Art Unit             | 1635                    |
|  | Examiner Name        | Terra C. Gibbs          |
| Attorney Docket Number                   | 014/002C             |                         |
| Total Number of Pages in This Submission | 19                   |                         |

## ENCLOSURES (Check all that apply)

|  |   |  |
|--|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)      | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> After Allowance communication to Group                            |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Licensing-related Papers   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input checked="" type="checkbox"/> Amendment/Reply (9 pages)                | <input type="checkbox"/> Petition   | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition to Convert to a Provisional Application                                 | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> Power of Attorney, Revocation  | <input type="checkbox"/> Status Letter   |
| <input checked="" type="checkbox"/> Extension of Time Request (in duplicate) | <input type="checkbox"/> Change of Correspondence Address   | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):            |
| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Terminal Disclaimer  |  |
| <input type="checkbox"/> Information Disclosure Statement                    | <input type="checkbox"/> Request for Refund   |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)              | <input type="checkbox"/> CD, Number of CD(s) _____  |  |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application    | <b>Remarks</b><br>1. Sequence Listing - paper copy (5 pages) + diskette (1)<br>2. Return receipt postcard |  |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |  |

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                         |  |
|-------------------------|--|
| Firm or Individual name | David J. Earp, Registration No. 41,401 |
| Signature               | <i>[Signature]</i>                     |
| Date                    | April 13, 2004.                        |

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

|                       |                     |      |                |
|-----------------------|---------------------|------|----------------|
| Typed or printed name | Karen Zielen        |      |                |
| Signature             | <i>Karen Zielen</i> | Date | April 15, 2004 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

Applicant must file the items indicated below within the time period set the Office action to which the Notice is attached to avoid abandonment under 35 U.S.C. § 133 (extensions of time may be obtained under the provisions of 37 CFR 1.136(a)).

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998).
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☒ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other: \_\_\_\_\_

**Applicant Must Provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

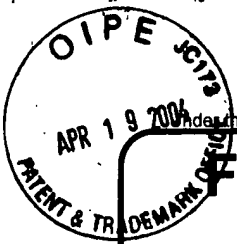
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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 475

## Compleat if Known

|                      |                         |
|----------------------|-------------------------|
| Application Number   | 09/436,060              |
| Filing Date          | 014/002C                |
| First Named Inventor | James T. Kealey, et al. |
| Examiner Name        | Terra C. Gibbs          |
| Art Unit             | 1635                    |
| Attorney Docket No.  | 014/002C                |

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

07-1139

Geron Corporation

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity<br>Fee Code | Small Entity<br>Fee Code | Fee Description        | Fee Paid |
|--------------------------|--------------------------|------------------------|----------|
| 1001 770                 | 2001 385                 | Utility filing fee     |          |
| 1002 340                 | 2002 170                 | Design filing fee      |          |
| 1003 530                 | 2003 265                 | Plant filing fee       |          |
| 1004 770                 | 2004 385                 | Reissue filing fee     |          |
| 1005 160                 | 2005 80                  | Provisional filing fee |          |
| SUBTOTAL (1)             |                          |                        | 0        |

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

|                    |   | Extra Claims | Fee from below | Fee Paid |
|--------------------|---|--------------|----------------|----------|
| Total Claims       | 6 | -26** = 0    | X              | 0        |
| Independent Claims | 3 | -5** = 0     | X              | 0        |
| Multiple Dependent |   |              |                |          |

| Large Entity<br>Fee Code | Small Entity<br>Fee Code | Fee Description  |
|--------------------------|--------------------------|--|
| 1202 18                  | 2202 9                   | Claims in excess of 20                                     |
| 1201 86                  | 2201 43                  | Independent claims in excess of 3                          |
| 1203 290                 | 2203 145                 | Multiple dependent claim, if not paid                      |
| 1204 86                  | 2204 43                  | ** Reissue independent claims over original patent         |
| 1205 18                  | 2205 9                   | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 0

\*\*or number previously paid, if greater. For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity<br>Fee Code | Small Entity<br>Fee Code | Fee Description  | Fee Paid |
|--------------------------|--------------------------|--|----------|
| 1051 130                 | 2051 65                  | Surcharge - late filing fee or oath  |          |
| 1052 50                  | 2052 25                  | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053 130                 | 1053 130                 | Non-English specification  |          |
| 1812 2,520               | 1812 2,520               | For filing a request for ex parte reexamination                            |          |
| 1804 920*                | 1804 920*                | Requesting publication of SIR prior to Examiner action                     |          |
| 1805 1,840*              | 1805 1,840*              | Requesting publication of SIR after Examiner action                        |          |
| 1251 110                 | 2251 55                  | Extension for reply within first month                                     |          |
| 1252 420                 | 2252 210                 | Extension for reply within second month                                    |          |
| 1253 950                 | 2253 475                 | Extension for reply within third month                                     | 475      |
| 1254 1,480               | 2254 740                 | Extension for reply within fourth month                                    |          |
| 1255 2,010               | 2255 1,005               | Extension for reply within fifth month                                     |          |
| 1401 330                 | 2401 165                 | Notice of Appeal   |          |
| 1402 330                 | 2402 165                 | Filing a brief in support of an appeal                                     |          |
| 1403 290                 | 2403 145                 | Request for oral hearing   |          |
| 1451 1,510               | 1451 1,510               | Petition to institute a public use proceeding                              |          |
| 1452 110                 | 2452 55                  | Petition to revive - unavoidable   |          |
| 1453 1,330               | 2453 665                 | Petition to revive - unintentional   |          |
| 1501 1,330               | 2501 665                 | Utility issue fee (or reissue)   |          |
| 1502 480                 | 2502 240                 | Design issue fee   |          |
| 1503 640                 | 2503 320                 | Plant issue fee  |          |
| 1460 130                 | 1460 130                 | Petitions to the Commissioner  |          |
| 1807 50                  | 1807 50                  | Processing fee under 37 CFR 1.17(q)  |          |
| 1806 180                 | 1806 180                 | Submission of Information Disclosure Stmt                                  |          |
| 8021 40                  | 8021 40                  | Recording each patent assignment per property (times number of properties) |          |
| 1809 770                 | 2809 385                 | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810 770                 | 2810 385                 | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801 770                 | 2801 385                 | Request for Continued Examination (RCE)                                    |          |
| 1802 900                 | 1802 900                 | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 475

## SUBMITTED BY

|                   |              |                                   |        |           |                |
|-------------------|--------------|-----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | David J. Eap | Registration No. (Attorney/Agent) | 41,401 | Telephone | (650) 473-7721 |
| Signature         |              |                                   |        | Date      | April 13, 2004 |

WARNING: Information in this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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